
APPENDIX F - GOVERNANCE MANUAL



Maritime Information Sharing Environment (MISE)

Governance Manual

Version 1.0

1. Introduction

1.1. BACKGROUND

The National Maritime Domain Awareness (MDA) Concept of Operations describes an end-state in which any authorized user is able to access the information they require through seamless validation of the needs, rights and authorities of the user balanced against the permissions or restrictions established by organizations publishing the information. The Maritime Information Sharing Environment (MISE) provides that environment as a national capability to share and search maritime information across organizational boundaries relevant to the maritime domain.

Value to the Maritime Community:

- **User Convenience** – Users can access multiple services using a common set of standardized security credentials making it easier to sign on, access applications, and manage account information.
- **Interoperability** – MISE specifies common security standards and framework so applications can adopt interoperable security specifications for authentication and authorization.
- **Cost-Effectiveness** – MISE facilitates information sharing by using standardized Extensible Markup Language (XML)-based credentials that include information about each user's identity and privileges. This reduces the cost and complexity of identity administration required to access applications and vet users.
- **Privacy** – MISE will reduce the propagation of personally identifiable information (PII), reduce redundant capture and storage of PII, and depersonalize data exchanges across domains using privacy metadata.
- **Security** – the MISE model will improve the security of PII and data in participant organizations' applications by providing a standardized approach to online identities between agencies or applications.

Contents

The MISE Governance Manual defines the governance structure for MISE, including the parties that play a role in the governance structure (e.g. Board of Directors, MISE Management, information provider representatives, and information consumer representatives) and the decisions to be made by each party.

Target Audiences

The target audience for this document includes managers and technical representatives of prospective MISE participant organizations who are planning to implement a service within the MISE. It also includes vendors, contractors, and consultants who are required to establish technical interoperability with National Information Exchange Model - Maritime (NIEM-M) standards as part of a contracted project or product implementation.

2. MISE Governance Structure

The MISE governance structure will consist of the MISE Board of Directors (BOD), MISE Management, and representatives (Information Providers and Information Consumers) from various organizations participating in the MISE Configuration Control Board (CCB). The governance structure is captured in the figure below.

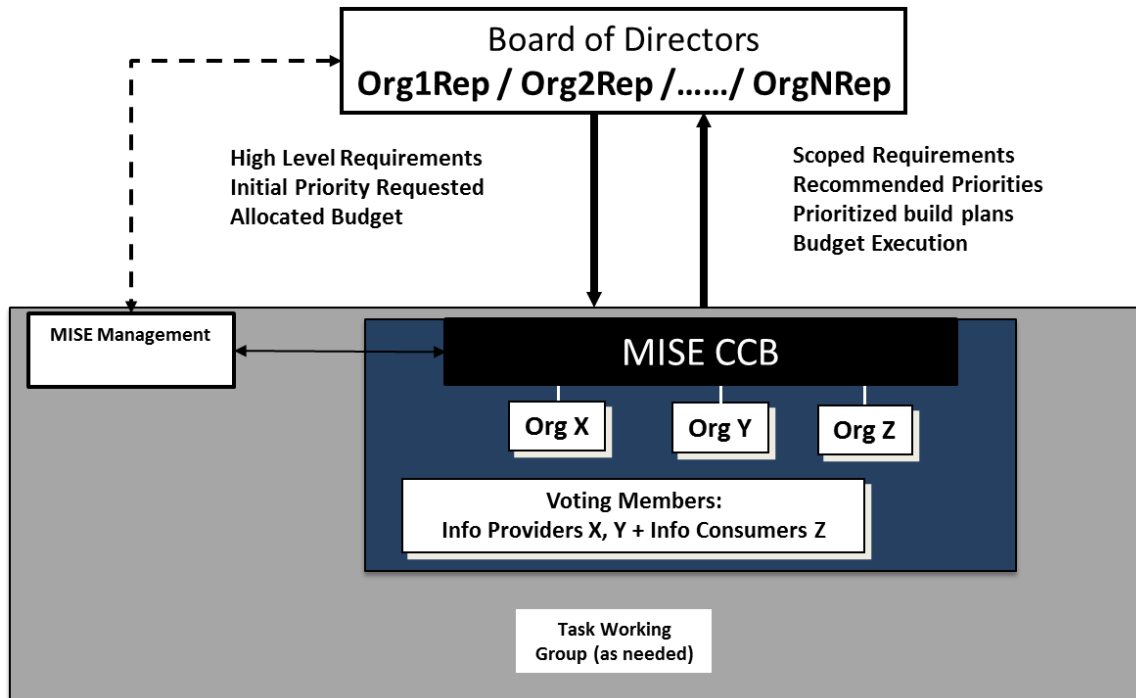


Figure 1 MISE Governance Structure

The specific organizations and individuals that comprise the BOD, MISE Management and CCB will evolve over time, so are not specified in this document.

3. Board of Directors

The MISE BOD is the executive-level body with representation from primary stakeholders that guides the MISE and is the final authoritative body to make decisions for the environment.

3.1. RESPONSIBILITIES

The BOD provides executive oversight of the MISE and decides on matters that are beyond the authority delegated to the MISE CCB. This includes, but is not limited to:

- Provide high level requirements
- Allocate the MISE budget
- Provide prioritization and approval for execution of CCB recommendations
- Approval authority for any modification to Trusted System Agreements

- Approval authority for any changes to any guidelines, standards, or documents of the MISE
- Approval authority for any changes to the governance structure
- Approval authority for membership policy, membership requests, membership suspension or revocation, and any changes to the MISE systems and security policies
- Identify potential new partners to join the environment

3.2. MEETINGS

The BOD shall meet quarterly to discuss general business and other matters that may arise. On an as needed basis, a BOD member may call an emergency meeting to discuss and decide matters that need immediate attention. To call an unscheduled meeting, the board member requesting the meeting must notify the other board members via written or electronic communication and obtain concurrence of no less than 50 percent of the Board to meet.

Regularly scheduled and emergency meetings can occur in person or via teleconference, and require a quorum of the Board of Directors to proceed. If a quorum is not present, the meeting shall be rescheduled to the next date when a quorum can be present. Emergency meetings will have no effect on the next regularly scheduled meeting date.

4. MISE Configuration Control Board

The CCB has responsibility for reviewing change requests for MISE exchange standards, services and processes, and forwarding recommendations to the BOD for approval decisions. The CCB is composed of representatives from information provider organizations, information consumer organizations, and MISE management.

4.1. RESPONSIBILITIES

The role of the CCB is to provide a common forum where information providers, information consumers and MISE management can jointly recommend MISE changes and enhancements, and forward those recommendations to the BOD. Specific responsibilities include:

- Review Change Requests (CR)
- Identify focus areas for new Information Exchange Package Documentation (IEPD)
- Provide recommendations to improve the execution of MISE
- Analyze recommendations for changes to any guidelines, standards, or documents of the MISE
- Analyze recommendations of any changes to the governance structure
- Analyze recommendations for membership policy, membership suspension and revocation, and any changes to the MISE systems and security policies
- Approve the formation of Task Working Groups (TWG) to target specific tasks that must be completed

- Approve the dissolution of TWG when tasks are completed
- Implement the MISE Work Flow process as shown in the diagram below.

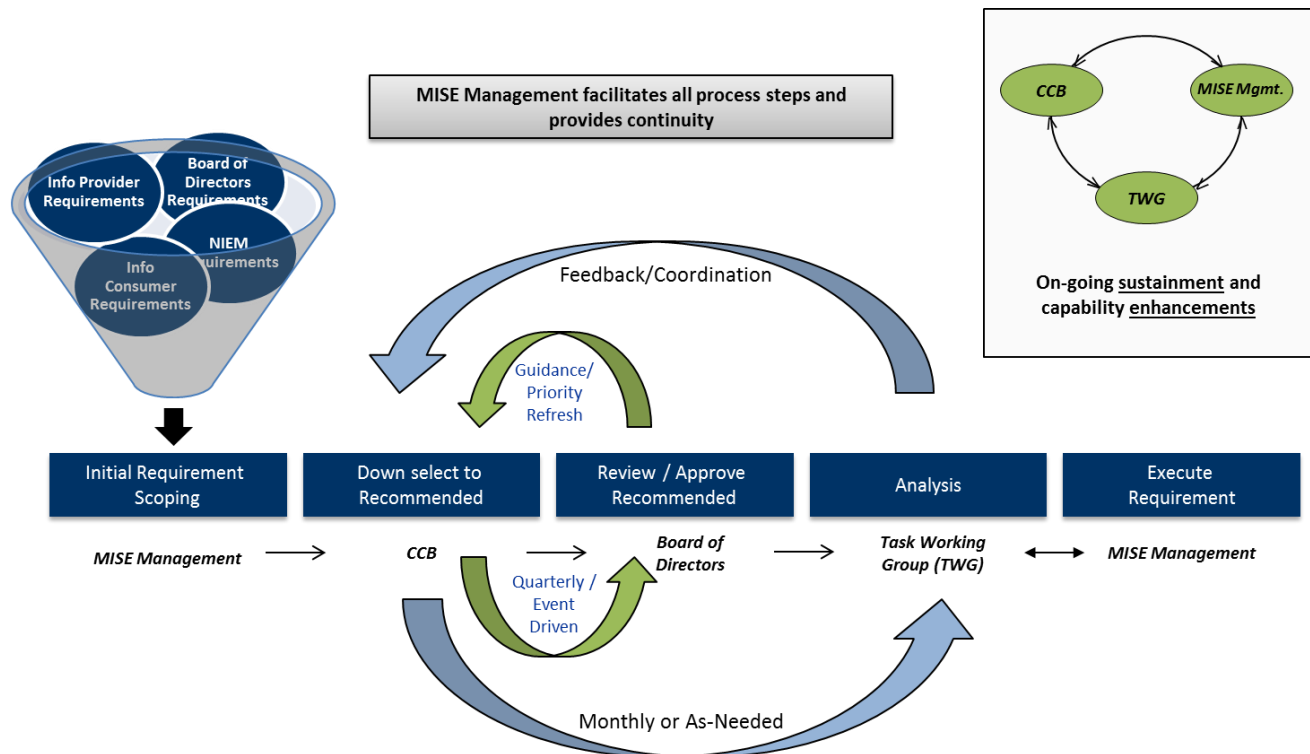


Figure 2 MISE Work Flow

4.2. MEETINGS

The CCB shall meet monthly to discuss Change Requests, provide or analyze recommendations, and other matters that may arise. On an as needed basis, the CCB may call an emergency meeting to discuss and decide matters that need immediate attention. Any unscheduled meeting must be approved by MISE management.

Regularly scheduled and emergency meetings can occur in person or via teleconference. If a quorum is not present, the meeting shall be rescheduled to the next date when a quorum can be present. Emergency meetings shall have no effect on the next regularly scheduled meeting date.

5. MISE Management

MISE Management will facilitate the identification, collaboration, management, movement, and processing of maritime information by leveraging the MISE. The following are the objectives of MISE Management:

1. Lead the NIEM-M domain to standardize sharing of common maritime information with interagency and international partners

2. Provide standards-based environment to facilitate secure, seamless access to unclassified maritime information among trusted systems
3. Manage day-to-day operations of the MISE

5.1. RESPONSIBILITIES

The MISE Management will be responsible for the day-to-day operations of the MISE. This includes, but is not limited to, the following:

- Facilitate CCB Meetings
- Execute approved CCB requirements
- Maintain NIEM-M domain model and exchange standards
- Manage MISE Help Desk
- Assist information providers in developing and maintaining Information Access Policies (IAPs)
- Certify new Trusted Systems within the MISE
- Maintain and disseminate the Trust Fabric

6. Information Providers/Consumer Representatives

Information Providers / Information Consumers Representatives participate in the MISE with an approved trusted system adhering to the unclassified maritime information sharing environment rules established by MISE management.

7. Responsibilities of the MISE Governing Bodies

The responsibilities of the MISE are listed below in this section.

7.1. POLICY

A membership policy for the MISE will be established by the MISE Management and approved by the BOD. Any subsequent changes to the policy will require BOD approval.

7.2. APPROVAL

The BOD has the authority to approve new members; MISE Management has the authority to sign any service Level Agreements on behalf of the MISE. Any modifications to the standard agreement or assignments of these agreements will require the BOD approval.

7.3. MEMBERSHIP SUSPENSION

If suspicion exists that a member has violated any of the MISE provisions, standards, policies, or procedures that threatens the integrity of the MISE, then MISE Management may suspend membership for up to 15 days. A longer suspension may be imposed by the BOD.

7.4. AUDIT / INVESTIGATE

The MISE has the right to audit the MISE-related activities of any member across the MISE. The use of an approved network banner is required in order to inform users that their computer activity on any government network is subject to monitoring. The model computer banner language, quoted below, may be considered for use:

“You are accessing a U.S. Government Information system, which includes (1) this computer, (2) this computer network, (3) all computers connected to this network, and (4) all devices and storage media attached to this network or a computer on this network. This information system is provided for U.S. Government-authorized use only. Unauthorized or improper use of this system may result in disciplinary action, as well as civil and criminal penalties.

By using this information system, you understand and consent to the following:

- You have no reasonable expectation of privacy regarding communications or data transiting or stored, or activity conducted on this information system.*
- At any time, and for any lawful government purpose, the Government may monitor, intercept, and search any communication or data transiting or stored on this information system.*
- Any communications or data transiting or stored, or activity conducted on this information system may be disclosed or used for any official government purpose.”*

In the case of an alleged breach of MISE policy, the MISE Management will perform a basic audit and investigation. If there is initial validation of the concern based on this initial investigation, the member can be required to provide a third-party audit to show that their procedures adhere to MISE rules.

7.5. MEMBERSHIP REVOCATION

The decision to revoke any member's membership without cause will be in the sole discretion of the BOD and will require 60 days' notice to such member. If any member decides to cancel their membership, they may do so upon 60 days' notice to the MISE Management. The MISE Management will be responsible for periodically informing the BOD of the cancellation of any memberships.

8. Conflict Resolution

The MISE members agree that any dispute or conflict will be brought to the BOD, via MISE Management, for resolution. All decisions made by the BOD in resolution of a conflict will be deemed final upon notice to the parties involved. Unless otherwise

stipulated in the resolution description, the decision will be implemented in 30 days from initial notice.

8.1. DISPUTES AMONG MISE MEMBERS

Disputes among MISE members shall be resolved via the following process. When a dispute occurs among members, one or more members may notify the MISE Management of the dispute in writing. Upon receiving written notification of the dispute, the MISE Management may, at its discretion, take the necessary steps to investigate the dispute. After investigating the dispute, the MISE Management may either render a decision to resolve the dispute or submit the issue to the BOD for a vote. The MISE Management must complete this process no later than 60 days after receiving written notification of the dispute.

8.2. DISPUTES BETWEEN MEMBERS AND THE MISE MANAGEMENT

When a dispute occurs between any of the MISE members and the MISE Management, one or more parties of the dispute may notify the BOD of the dispute in writing. Upon receiving written notification of the dispute, the Director in receipt of the written notification must forward the notification to all members of the BOD. The BOD may, at its discretion, take the necessary steps to investigate and render a decision on the dispute. The MISE Board of Directors must complete this process no later than 60 days after receiving written notification of the dispute.

8.3. END USER CONFLICT

Any end-user conflict will be addressed solely by the Information Provider / Information Consumer Representative to which the user subscribes, and cannot be appealed to any other MISE member.

9. Core MISE Governance Documents

The operation of the MISE is governed by this MISE Governance Manual. This document provides the foundation for governing and operating the MISE.

Further details regarding the required processes to manage the MISE environment are described in the Appendices.

10. Glossary

Attributes	Characteristics of a persona that defines a user in a particular role (sent by a trusted system to the ISI)
Board of Directors	The Board of Directors decides on any matters that fall outside of the role of the MISE Management and provide general guidance. Some of the responsibilities include approval of any modification to standard agreements, documents, or governance structure.
MISE Management	The MISE Management is responsible for the day-to-day operations of the MISE.
Governance	Establishment of policies and continuous monitoring of the proper implementation by the members of the governing body of an organization
Information Consumer	A type of trusted system that authenticates users, using an internal or external identity provider, and passes information access requests and user attributes on behalf of the user to the ISI
Information Provider	A type of trusted system that provides both maritime information and corresponding Information Access Policy (IAP) to the ISI
Information Sharing Infrastructure (ISI)	Handles requests from the trusted systems on behalf of the users. Operating on the user attributes, it will make entitlement decisions, processing messages from the information providers based on their IAP and providing responses to the trusted system
Personally Identifiable Information (PII)	Information that can be used to uniquely identify, contact, or locate a single person or can be used with other sources to uniquely identify a single individual
Service Provider	An entity that provides services to other entities
Trusted System	Information provider and/or information consumer. It also passes information and IAP or information access requests and user attributes to the ISI. The trusted system relies on an internal or external identity provider to authenticate users.
User	Any person, organization, system, etc. that authenticates to the trusted system via an internal or external identity provider in order to access the ISI.

11. Acronyms

BOD	Board of Directors
CCB	Configuration Control Board
CR	Change Request
IAP	Information Access Policy
IEPD	Information Exchange Package Document
ISI	Information Sharing Infrastructure
MISE	Maritime Information Sharing Environment
MDA	Maritime Domain Awareness
NIEM-M	National Information Exchange Model – Maritime
PII	Personally Identifiable Information
TS	Trusted System
TWG	Task Working Group
XML	Extensible Markup Language

12. Request to Join Process

The Request to Join Process serves as a preliminary qualifications assessment for potential MISE Trusted Systems to join the environment. It provides an opportunity for potential MISE Stakeholders to learn about the environment and the BOD to determine applicability of the system for the environment. Figure C1 depicts the Request to Join Process. Table C1 provides a detailed explanation of each step in the process.

#	Description	Actor	Input	Output	Time Frame
1	Work with maritime community to identify new MISE Stakeholders	BOD	Discussions	Discussions displaying interest in MISE	At any time.
2	Review unsolicited requests by agencies to join MISE	MISE Management	Unsolicited request/interest	Discussions displaying interest in MISE	At any time.
2	Receive informational brief about MISE	MISE Stakeholder	MISE introduction brief	Presented MISE introduction brief	Within 20 days of initial interest
3	Notify Management of interested Stakeholder	BOD	Completed presentation of MISE introduction brief	Notified MISE Management of potential stakeholder	Within 5 days of giving MISE introduction brief
4	Schedule meeting with interested MISE stakeholder	MISE Management	Notification from MISE management of potential stakeholder	Scheduled meeting with potential stakeholder	Within 10 days of notification
5	Technical evaluation of readiness of system	MISE Stakeholder	Information provider survey	Completed information provider survey	Occurs during meeting previously scheduled
6	Compile recommendation report	MISE Management	Completed information provider survey	Completed recommendation report	Within 5 days of meeting with potential stakeholder
7	Review recommendation report	BOD	Completed recommendation	Analysis and Authorization Decision	Meeting of BOD (Quarterly or as needed)
8	Notified of rejection	MISE Stakeholder	BOD Decision	Notification to stakeholder of decision	Within 5 days of BOD Decision
9	Notified of approval	MISE Stakeholder	BOD decision	Notification to stakeholder of decision	Within 5 days of BOD Decision

Table C1. Request to Join Process

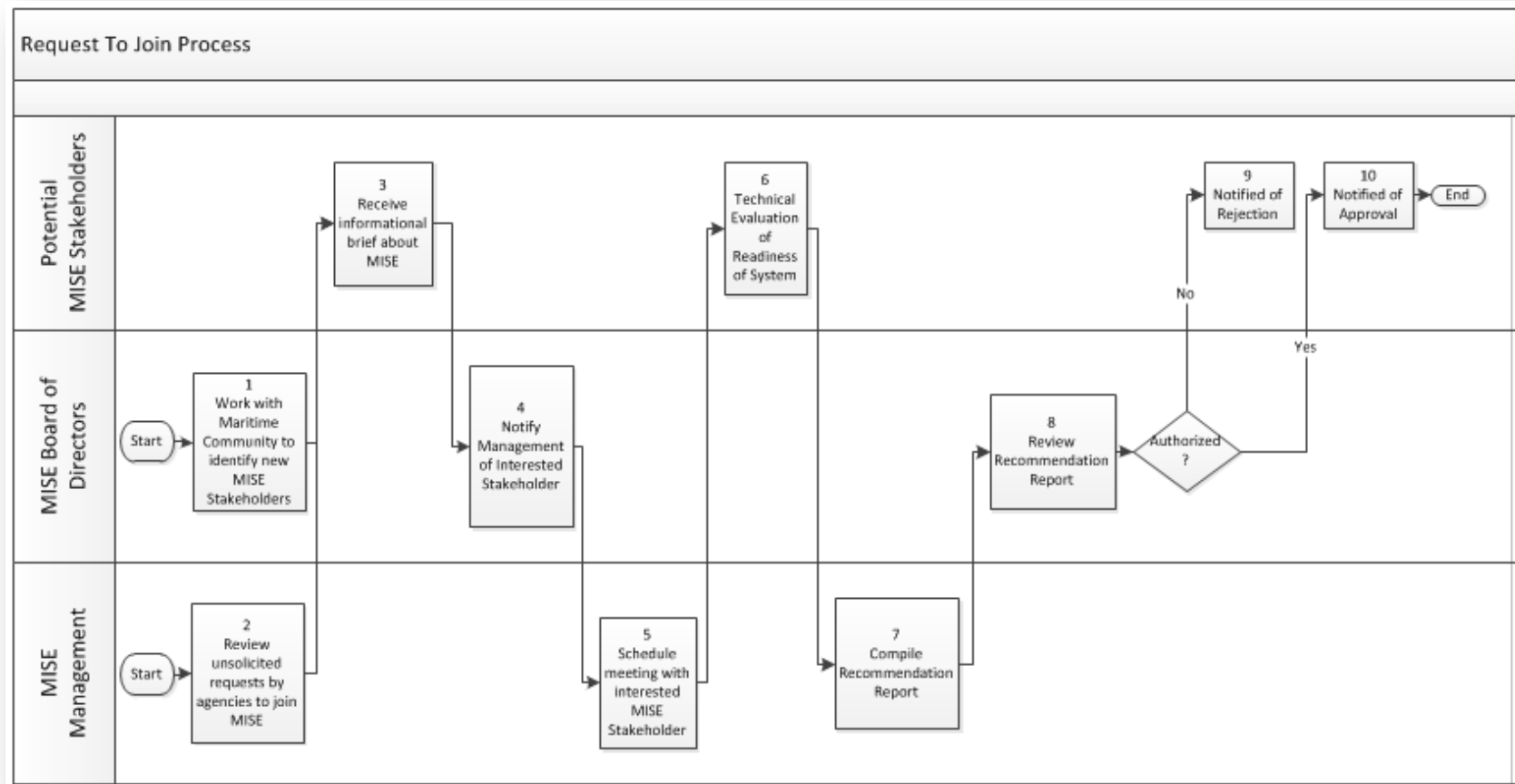


Figure C1: Request to Join Process

13. MISE Help Desk Process

The purpose of the Help Desk is to solve operational problems raised by end-users. As the MISE is comprised of many member organizations, each with its own local help desk resources, stakeholders must leverage these local resources to the maximum extent possible. The primary guiding principle in the design of the MISE help desk structure is that all problems SHOULD be solved as close to the user as possible, and with as little centralized effort as possible. Figure D1 depicts the Help Desk Process. Table D1 provides a detailed explanation of each step in the process.

#	Description	Actor	Input	Output	Time Frame
1	Experience IT Problem	MISE Trusted System User	Experienced IT problem	Experienced IT problem	At any time
2	Work with Local network Help Desk to Resolve Issue	User's Network Help Desk	Experienced IT problem	Unresolved IT problem	At any time
3	Work with Trusted System Help Desk to resolve issue	MISE Trusted System	Unresolved It problem	Unresolved IT problem	At Any time
4	Submit issue through mda.gov	MISE Management	Unresolved IT problem	Resolved IT problem	Within 10 business days of notification
5	Work with Trusted System Help Desk to Resolve Issue.	MISE Management	Unresolved IT problem	Resolved IT problem	Within 10 business days of notification

Table D1. MISE Help Desk Process

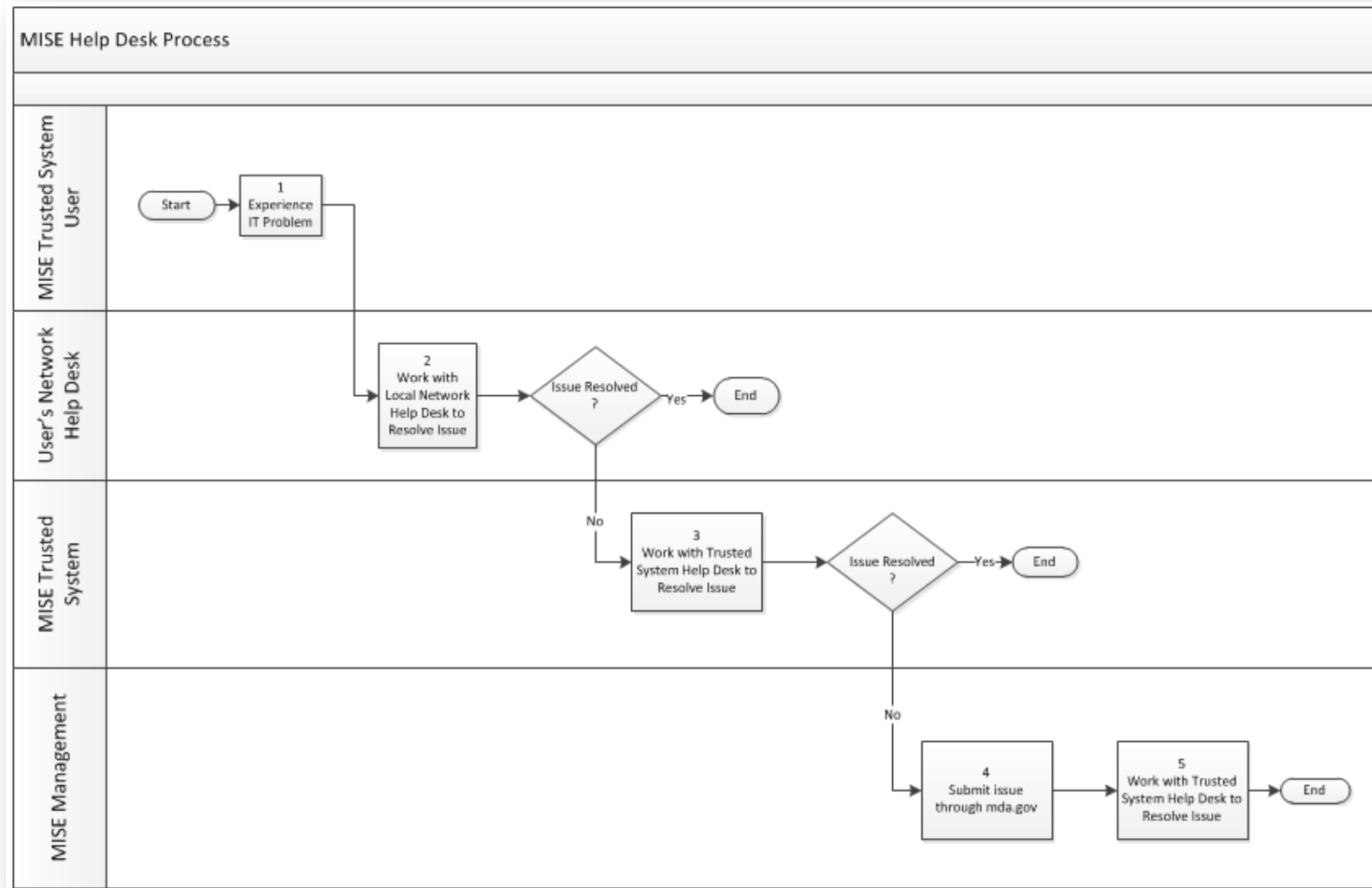


Figure D1. MISE Help Desk Process

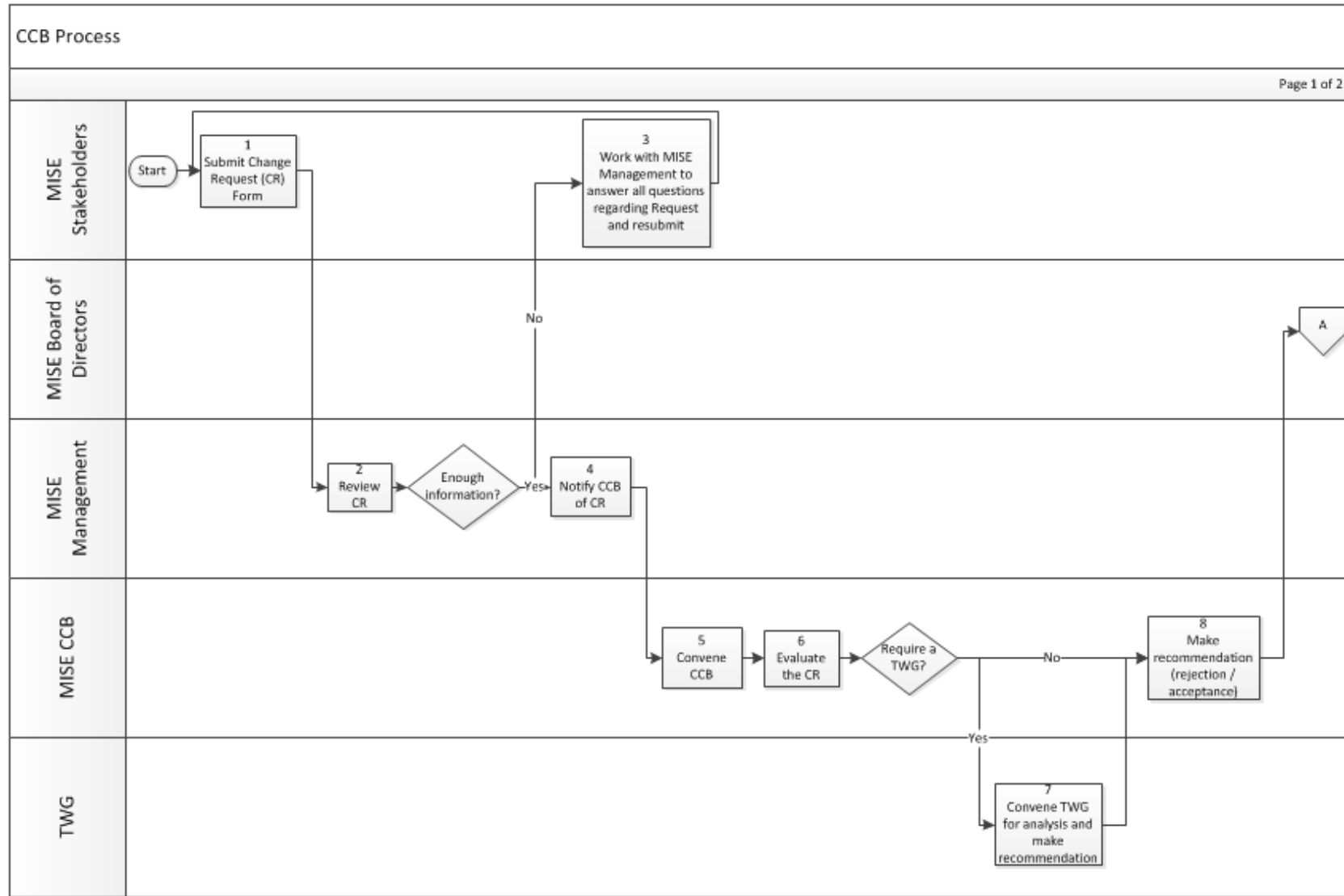
14. Configuration Control Board Process

The MISE CCB is responsible for controlling the MISE baseline, and evaluating and approving proposed changes. Figure E1 depicts the CCB Process. Table E1 provides a detailed explanation of each step in the process.

#	Description	Actor	Input	Output	Time Frame
1	Submit Change Request (CR) Form	MISE Stakeholder	CR Form Template	CR Form	At any time.
2	Review CR	MISE Management	CR Form	Completed CR Form	Within 10 working days of receipt of CR
3	Work with MISE Management to answer all questions regarding request and resubmit	MISE Management / MISE Stakeholder	Incomplete CR Form	Completed CR Form	Within 5 working days after review of CR
4	Notify CCB of CR	MISE Management	Completed CR Form	Confirmed notification to CCB	Within 15 days of receipt of CR
5	Convene the CCB	CCB	Completed CR Form	Scheduled CCB Meeting	At least quarterly or as needed
6	Evaluate the CR	CCB	Scheduled CCB Meeting Completed CR Form	CCB Meeting Minutes capturing discussion	Within 5 days of CCB Meeting
7	Convene TWG for analysis and make recommendation	TWG	Direction from CCB Completed CR Form	Recommendation / Rejection Report	Within 5 days of CCB Meeting
8	Make recommendation (rejection/approval)	CCB	CCB Meeting Minutes capturing discussion Completed CR Form TWG Recommendation/Rejection Report	CCB recommendation / rejection Cost estimate (if needed)	Quarterly

9	Review CR and recommendation	BOD	Scheduled BOD Meeting Completed CR Form CCB recommendation/rejection Cost estimate (if completed)	BOD meeting minutes capturing discussion BOD cost estimate approval (if needed) BOD authorization / rejection	Quarterly
10	Plan Update	CCB	BOD authorization BOD cost estimate approval (if needed)	Planned schedule Planned changes	Next CCB meeting
11	Close CR	CCB	BOD rejection	Closed CR Explanation of rejection	Within 5 days of decision
12	Notified of closure and explanation of rejection	MISE Stakeholder	Closed CR Explanation of rejection	MISE Stakeholder acknowledgement of rejection	Within 5 days of decision
13	Notified of approval and status update	MISE Stakeholder	Planned changes Planned schedule	MISE Stakeholder acknowledgment of approval	Within 5 days of decision
14	Make changes	MISE Management	Planned Schedule Planned Changes	Implemented changes and final Report	As needed dependent on tasking and resources available
15	Close CR	CCB	Implemented changes and final report	Closed CR	Within 5 Days of changes implemented and finalized
16	Notified of completion	Information Provider / Information Consumer	Closed CR	MISE Stakeholder acknowledgement of completion	Within 5 days of closure

Table E1. CCB Process



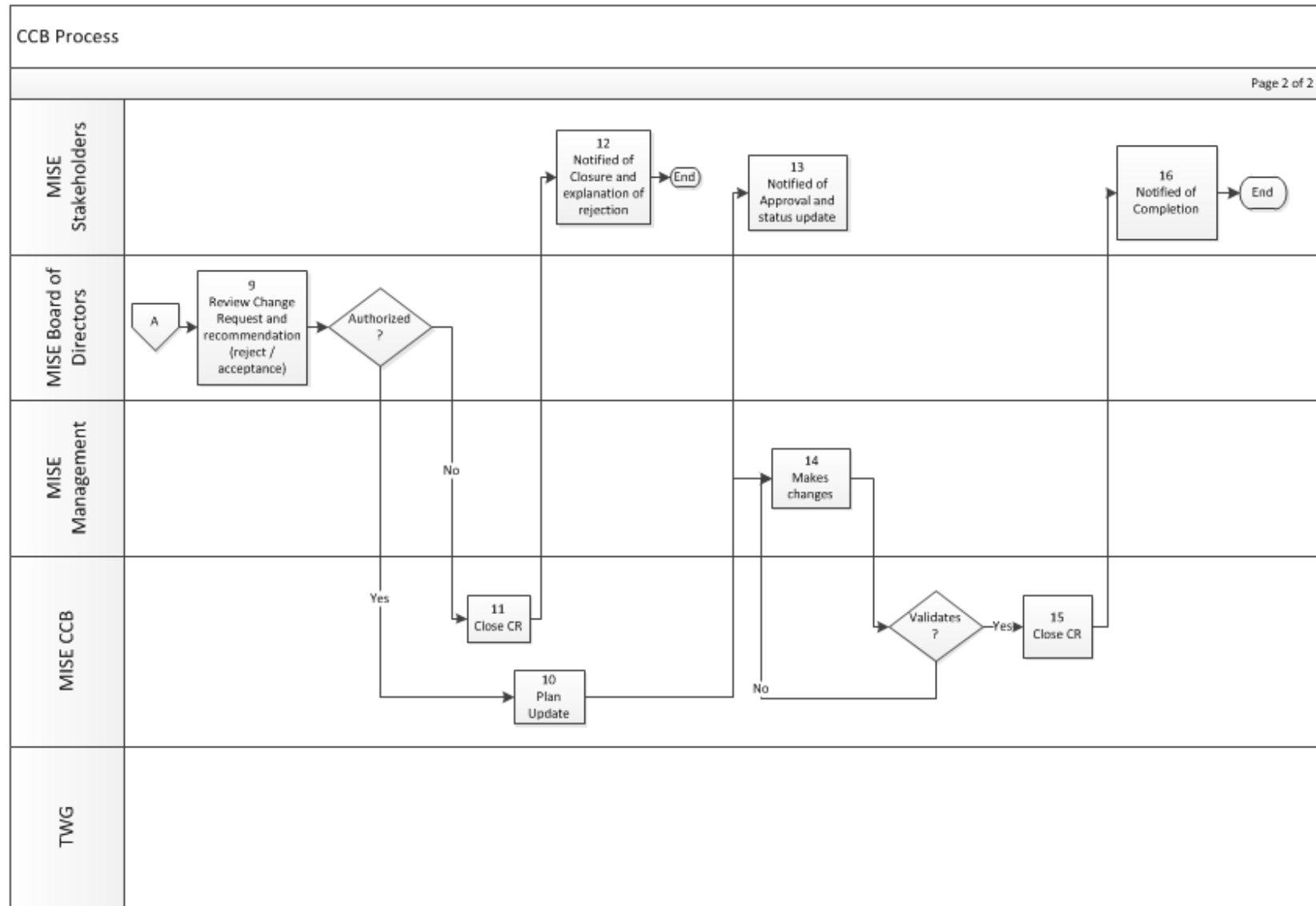


Figure E1. CCB Process

15. Onboarding Process

Once a MISE Stakeholder is authorized to join the environment, the Information Provider/Information Consumer will complete the implementation in accordance with the MISE Implementation Guide. The Onboarding Process will allow the Trusted System to be connected to the MISE environment. Figure F1 depicts the Onboarding Process. Table F1 provides a detailed explanation of each step in the process.

#	Description	Actor	Input	Output	Time Frame
1	Complete Implementation	MISE Trusted System	Authorization to join MISE Environment	Completed Data Mapping Model Transforms (if needed) Attribute Mapping Developed IAP Implemented Required Services (Publication, Search, Retrieve, Security)	At any time.
3	Add Trusted System to the Test Trust Fabric	MISE Management	Procured Certificate / Key	Trusted System added to the Test Trust Fabric	Within 10 days of TS certificate in key store
4	Submit IAP	MISE Management	Trusted System added to the Trust Fabric	Implemented IAP	Within 10 days of TS certificate in key store
5	Issue HTTP PUT / HTTP GET	MISE Trusted System	Implemented IAP	Issued HTTP PUT/HTTP GET	Within 10 days of TS certificate of key store
6	Test Interoperability	MISE Management / MISE Trusted System	Issued HTTP PUT/HTTP GET	Successful Interoperability Test	Within 10 days of TS certificate of key store
7	Work with MISE Management to address interoperability issues	MISE Trusted System	Unsuccessful interoperability test	Identified and corrected issues	Within 5 days of unsuccessful interoperability test
8	Add Trusted System to	MISE Management	Successful interoperability test	Trusted System add to the Operational Trust Fabric	Within 5 days of successful interoperability test

	Operational Trust Fabric				
9	Troubleshoot	MISE Management	Unsuccessful interoperability test of Operational Trust Fabric	Identified and corrected issues Successful interoperability test of Operational Test Fabric	Within 5 days of unsuccessful test
10	Notified of successful Onboarding	CCB and BOD	Successful interoperability test of Operational Test Fabric	Notification of successful Onboarding	Within 2 days of successful interoperability test

Table F1. Onboarding Process

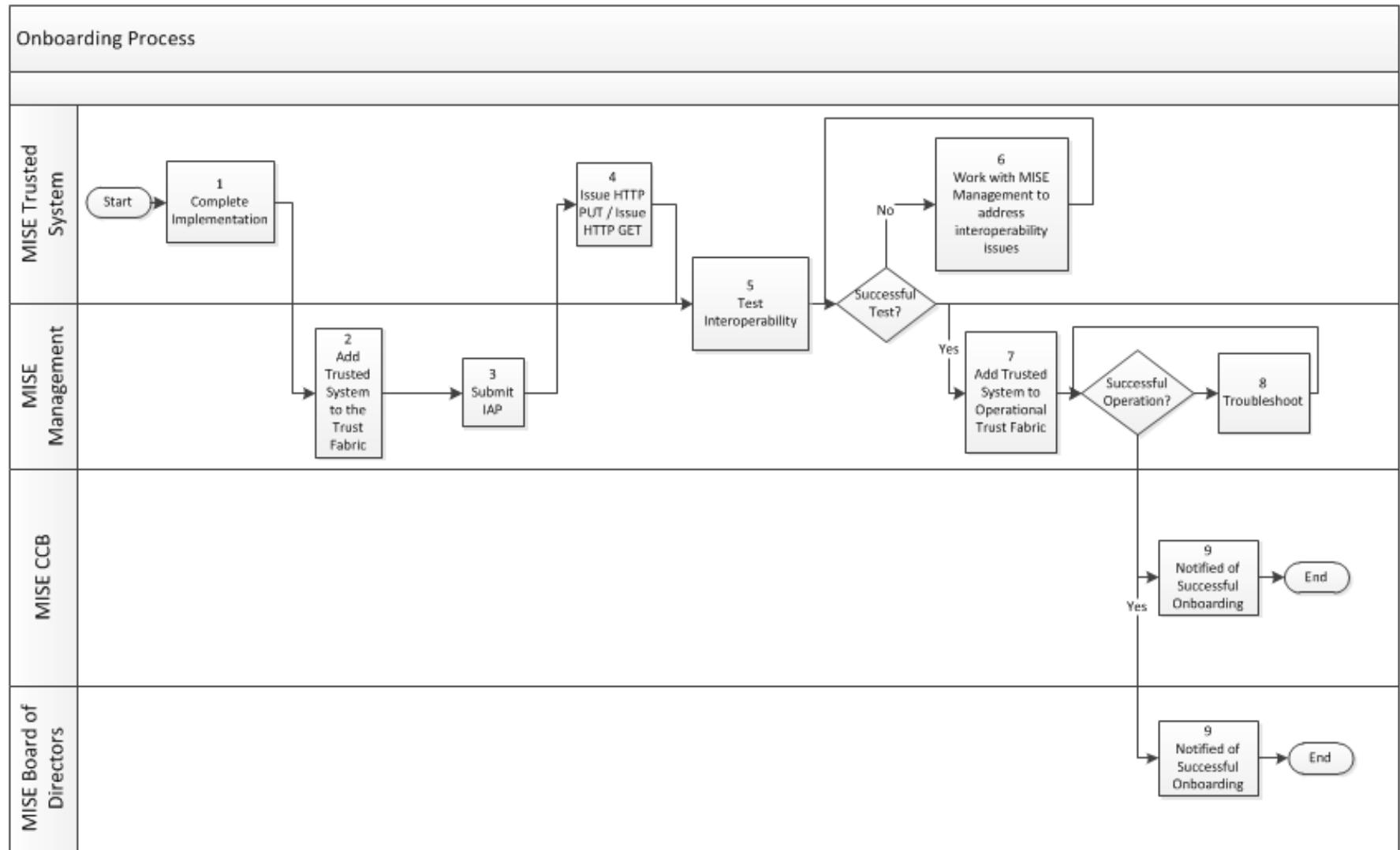


Figure F1. Onboarding Process

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